



Attorney's Docket No.: 11910-003001

2164
#5
07-16-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Lisette Cooper et al.

Art Unit : 2164

Serial No. : 09/836,484

Examiner : Unknown

Filed : April 17, 2001

Title : VISUALIZATION OF ASSET INFORMATION

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Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Applicant submits the references listed on the attached form PTO-1449, copies of which are enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: _____

2/7/02

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I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

February 7, 2002

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Substitute Form PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark OfficeAttorney's Docket No.
11910-003001Application No.
09/836,484**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

(37 CFR 1.98(b))

Applicant
Lisette Cooper et al.Filing Date
April 17, 2001Group Art Unit
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U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	6,061,662	05/09/00	Makivic			
	AB	6,021,397	02/01/00	Jones et			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

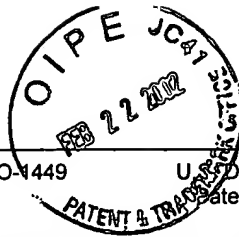
Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	M. Britten-Jones and A. Neuberger, "Option Prices, Implied Price Processes, and Stochastic Volatility", J. Finance, " vol. LV pp839-866 (2000).
*	AR	John C. Hull, "Options, Futures, and Other Derivatives" (Fourth Edition, 1999; Prentice-Hall).
	AS	J. C. Jackwerth and M. Rubinstein, "Recovering probability distributions from option prices," J. Finance, vol. 51, pp. 1611-1631 (1996).
	AT	D. T. Breeden and R. H. Litzenberger, "Prices of state-contingent claims implicit in option prices," J. Business, vol. 51, pp. 631-650 (1978).
	AU	B. Dumas, J. Fleming and R.E. Whaley, "Implied volatility functions: Empirical tests", J. Finance, vol. 53, pp. 2059-2106 (Dec 1998).

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Substitute Form PTO-1449 (Modified) Information Disci sur Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11910-003001	Application No. 09/836,484
	Applicant Lisette Cooper et al.		
	Filing Date April 17, 2001	Group Art Unit 2164	

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AV	. www.cbo.com, Chicago Board Options Exchange
	AW	www.etrade.com, E*TRADE Securities, Inc
	AX	www.bloomberg.com, Bloomberg L.P.
	AY	www300.fidelity.com, Fidelity Investments Institutional Services Company, Inc.
	AZ	www.nyse.com, NYSE, Inc.
	AAA	www.optionetics.com, Global Investments Research Corp.
	ABB	www.contingencyanalysis.com, Contingency Analysis
	ACC	http://valuengine.com/servlet/ValuationSummary, ValuEngine Inc.

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